



**Cal EMA**  
CALIFORNIA EMERGENCY  
MANAGEMENT AGENCY

June 25, 2010

Chelsey Chappelle  
Adult Probation Division Director  
Shasta County Probation Department  
1525 Court Street 1<sup>st</sup> Floor  
Redding, CA 96001

Subject: Site Visit – Evidence Based Probation Supervision Program #ZP09010450 /  
Comprised of 09 JAGR \$256,224

Dear Ms. Chappelle:

I would like to take the opportunity to thank you and your staff for the courtesy extended to me during the site visit conducted on June 17, 2010, at the Shasta County Probation Department. Enclosed, you will find a copy of the completed Performance Site Visit Report for your ZP09010450 award.

The site visit gives California Emergency Management Agency the opportunity to assist the project with the achievement of their goals and objectives, and administering their grant funds in the most effective and efficient manner. As a Program Specialist, I am available to assist you with any questions regarding the grant program. Please do not hesitate to contact me at (916) 323-7736, if I can be of assistance to you in the future.

Sincerely,

A handwritten signature in cursive script, which appears to read "Leona LaRochelle", is written over a dark, rectangular redacted area.

Leona LaRochelle  
Criminal Justice Specialist  
Public Safety and Victim Services Division

Enclosure

cc: Gayle Hermann, Chief Fiscal Officer  
Cal EMA Main File - ZP09010450

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)**

**PROGRAM:** Evidence Based Probation Supervision Program

**PERFORMANCE ASSESSMENT / SITE VISIT REPORT**

1. **GRANT AWARD NUMBER:** ZP09010450      **DATE OF SITE VISIT:** 6/17/10
2. **GRANT PERIOD:** January 1, 2010 to September 30, 2012
3. **RECIPIENT/IMPLEMENTING AGENCY:**  
Shasta County Probation Department
4. **PROJECT DIRECTOR:**  
Chelsey Chappelle

**PERSONS INTERVIEWED DURING SITE VISIT:**

**NAME**

**TITLE**

**AGENCY**

Chelsey Chappelle

Project Director

Shasta County Probation

Gayle Hermann

Chief Fiscal Officer

Shasta County Probation

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Signature of Program Specialist

6/21/10  
Date

  
Signature of Section Chief

6/23/10  
Date

\_\_\_\_\_  
Signature of Project Representative      Date

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

YES NO N/A

#### 1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

- The Cal EMA Recipient Handbook (R.H.)
- The Approved Grant Award Agreement
- The RFA/RFP (supersedes the requirement of the R.H.)
- The Program Guidelines (supersedes the requirement of the R.H.)
- Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

#### 2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- Obtain copy of required Fidelity Bond Certificate? [R.H. Section 2161] Does not apply to state, city, or county units of government.
- Does the certificate show:
  - Bonding company's name
  - Bond number
  - Description of coverage
  - Amount of coverage (50% of allocation)
  - Bond period
  - Grant award number
  - Form A, Employee Dishonesty
  - Form B, Forgery Coverage
  - Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?

<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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Comments:

#### 3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- Does the project have its CEQA documentation on file?(Ask to view)
  - Certified Exempt
  - Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.

<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

Included in the Certification of Assurance

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

YES NO N/A

#### 4. PROOF OF AUTHORITY (R.H. Section 1350)

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)

☒ ☐ ☐

Comments:

Included with the Certification of Assurance

#### 5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

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Comments:

#### 6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). [R. H. Section 7500] (*Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.*)

☐ ☒ ☐

A modification is needed for the following:

- ☐ Budget changes
- ☐ Change in key personnel
- ☐ Adding/changing additional signers
- ☐ Change goals/objectives, or activities
- ☐ Address change
- ☐ Other

Comments:

No Modification needed at this time

#### 7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do the personnel policies include:
  - Work hours
  - Compensation rates including overtime and benefits
  - Vacation, sick, and other leave allowances
  - Hiring and promotional policies

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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
  - Staff note: Complete a sample review of a personnel file ☒ ☐ ☐
  - Job application ☒ ☐ ☐
  - Resume ☒ ☐ ☐
  - Performance evaluations ☒ ☐ ☐
  - Salary rates ☒ ☐ ☐
  - Benefits ☒ ☐ ☐
  - Current job duties/descriptions ☒ ☐ ☐
  - Other terms of employment ☒ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152] ☒ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☒ ☐ ☐

Comments:

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#### 8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☒ ☐ ☐

Comments:

Use a functional time sheet of Probation Dept. Will create a specific PCA for the EBPS grant

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#### 9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
  - Name of individual who approves purchases.  
Gayle Hermann
  - Name of individual who writes checks.  
Connie Regnell - Auditor
  - Name of individual(s) who signs checks.  
Connie Regnell - Auditor

Comments:

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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

YES NO N/A

#### 10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

- Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)?
- Does the project maintain an accurate inventory log of equipment purchased with grant funds?

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☐ ☐ ☒

Comments:

Attaches all receipts and other source documents to the Request for Expenditures in their file

#### 11. PROJECT EXPENDITURES

- Is the project's expenditure rate commensurate with the elapsed period of the grant?
- Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement?
- Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)?
- Is the project up-to-date with the submission of Cal EMA Form 2-201?

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Comments:

#### 12. MATCH REQUIREMENTS

- Does the project have a match requirement?
- Is the project meeting the match requirement?
- Review the supporting documentation to substantiate cash or in-kind match.

☐ ☐ ☒  
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☐ ☐ ☒

Comments:

#### 13. EEO POLICY

- Go over EEO checklist. (Separate document)

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Comments:

All documentation was collected for Cal EMA EEO Officer Lisa Albia

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

#### GENERAL

YES NO N/A

#### 14. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?
- Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?

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Comments:

#### 15. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements.

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Comments:

Explained Progress Reports are now the BJA PMT report. warned to keep a copy of the report in their file to meet requirement

#### 16. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

☐ ☐ ☐

Comments:

#### 17. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement?

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Comments:

#### 18. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

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Comments:

The Senior Analyst is working on the Assessment.com tool as stated in the grant. They are the lead County in the Northern Cal Consortium. DPO is doing the duties of the County DPO and working full time on EBPS grant

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[illegible]

## CEQA Compliance Memo

To: All Stakeholders

From Shasta County Probation Department

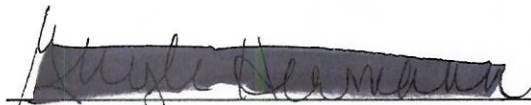
Subject: Evidence-Based Programs/Probation Supervision Program (EBPSP)  
Grant Award Number ZP09010450

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The above-mentioned applicant grant activities have been reviewed for compliance with the requirements of the California Environmental Quality Act (CEQA).

Per the regulations, this project is exempted because this agency has determined that the activity is covered by the general rule whereby CEQA applies only to projects with the potential to cause a significant effect on the environment.

Per the CEQA Guidelines [California Administrative Code, Title 14, Division 6, Section 15061(b)(3)] this agency certifies that there is no possibility that the proposed grant activity may have a significant effect on the environment and that the project is therefore not subject to CEQA.



Gayle Hermann  
Chief Fiscal Officer  
Shasta County Probation Department

6-16-10

Date

## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

### SECTION III – AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA) PROGRAMMATIC REVIEW

YES   NO   N/A

1. Is the project aware that they must provide Cal EMA with a valid Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number?

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Comments:

DUNS was verified on the CCR.com website are registered as Shasta County Probation as required

2. Is the project aware of the Central Contractor Registry (CCR) requirements?

- ☐ Register with a valid DUNS number; and  
☐ Renew CCR registration yearly for the life of the grant.

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Comments:

3. Does the project understand that they report Section 1512(c) information to Cal EMA and not to FederalReporting.gov directly?

- ☐ Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and  
☐ Completed Jobs Data Collection Sheets are due to Cal EMA by the 3<sup>rd</sup> working day of each month for JAG funded programs and by the 10<sup>th</sup> day of the each month for VOCA or VAWA funded programs.  
☐ Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked.

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Comments:

4. Does the project understand that by accepting the grant award, they agreed to:

- ☐ Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and  
☐ Accounting systems must ensure that ARRA funds are not commingled with funds from any other source.

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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

Comments:

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5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

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Comments:

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6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at [www.usdoj.gov/oig](http://www.usdoj.gov/oig).

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Comments:

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7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

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Comments: Also look for American Made Produce firsts, and cost effective products

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8. Does the project understand that by accepting the grant award, they:

- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any sub-recipient, contractor, or subcontractor; and
- Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any sub-recipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award.

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Comments:

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9. For existing staff positions, does the project have documentation that the position would have been eliminated if not for Recovery Act funding?  
Documentation may include:

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## PERFORMANCE ASSESSMENT/SITE VISIT REPORT

- Budget comparisons and/or projections before and after the Recovery Act award date
- Formal layoff recommendations and retractions (memos, reports) or
- Minutes of formal meetings where official budget decisions were made.

Comments:

Have a budget comparison to prove positions were to be laid off- Position was a retained position

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**10. Is the project aware of the Performance Measures and reporting timeline for ARRA funded programs:**

- |   |                                     |                          |                          |
|---|-------------------------------------|--------------------------|--------------------------|
| ○ Reporting of Performance Measures will be accomplished using BJA's Performance Measurement Tool (PMT);                                  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ PMT reports must be completed on a quarterly basis (i.e., July 15, October 15, January 15, and April 15) for the life of the grant; and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Failure to submit PMT reports by the due date could result in the project's award being suspended and/or revoked.                       | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

***(Specific to Recovery JAG funded programs only).***

Comments:

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